							Sheet 1	of 5	
	DAA DI	O-1449			ATTY. DOCKET NO.	APPLICA	ATION NO.	CONFIRMATION	
FUI					10007965			2	
			PUBLICATIONS FOR		APPLICANT				
APPLICANT'S INFORMATION DISCLOSURE STATEMENT					Jun Li et al.				
					FILING DATE	GROUP	- 		
	(Us	e several sheets	if necessary)					9	
REFEREN	ICE [DESIGNATION	u.s.	PATEN	IT DOCUMENTS			710 0	
EXAMINER INITIAL		DOCUMENT NUMBER	DATE		NAME		CLASS	SUB CLASS	
JOR	1A	5,506,955	04/09/1996	Ch	en et al.		395	183.02	

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS
JOR.	1A	5,506,955	04/09/1996	Chen et al.	395	183.02
JOR	1B	5,918,004	06/29/1999	Anderson et al.	395	183.14
JOR	1C	6,126,329	10/03/2000	Bennett et al.	395	704
INR	1D	6,167,534	12/26/2000	Straathof et al.	714	38
	1E					
	1F					
	1G					
	1H					
	11					
	1J					
	1K					

FOREIGN PATENT DOCUMENTS

	DOCUMENT	DATE	NAME	CLASS	SUB CLASS	TRANSLATION	
	NUMBER	DATE	NAME			YES	NO
1L							
1M							
1N		·					
10							
1P							

OTHER REFERENCES (including Author, Title, Date, Pertinent Pages, etc.)

JPR	10	CANTRILL, Bryan M., and Doeppner, Thomas W., Jr., 1997, "ThreadMon: A Tool for Monitoring Multithreaded Program Performance," Proceedings of the 30th Hawaii International Conference on System Sciences, pages 253-265.							
JPR 1R GRAHAM, Susan L., et al., 1982, "gprof: a Call Graph Execution Profiler," Proceeds SIGPLAN '82 Symposium on Compiler Construction, SIGPLAN Notices, Vol. 17, No. 120-126.									
	15	KAZI, I.H., et al., 2000, "JaViz: A client/server Java profiling tool," Java Performance, Vol. 39, No. 1 (18 pages).							
EXAMI	NER	DATE CONSIDERED							

FO	RM PT	O-1449		ATTY. DOCKET NO.	APPLIC	1 NOITA	NO. CO	ONFIRM	MATION
LIS	T OF I	PATENTS AND PUB	LICATIONS FOR	10007965 APPLICANT			l		
		NT'S INFORMATION	N DISCLOSURE	Jun Li et al.					
				FILING DATE	GROUP				
	(Us	e several sheets if n	necessary) 						
EFEREN	ICE D	ESIGNATION	U.S. PA	TENT DOCUMENTS					
XAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME		CLA	ss	SUB CLASS	
	2A								_
	2B								
	2C								
	2D								_
	2E								
	2F								
	2G			· · · · · · · · · · · · · · · · · · ·					
	2H								
	21								
-	2J								
	2K								
	2L	DOCUMENT NUMBER	DATE	NAME	CL	Λ C C I	SUB	YES	NO NO
	2M								
	2N								
	20								
	2P								
		OTHER REFER	ENCES (including	Author, Title, Date, Pei	rtinent Pa	ges, et	tc.)		
JR	20	MILLER, Barton I Computer, Vol. 2	P., et al., 1995, "TI 28, No. 11, pages 3	he Paradyn Parallel Perform 37-46.	nance Mea	sureme	nt Too	ol, " IEE	EE
DK	2R	YAN, Jerry, et a Distributed Progr	I., 1995, "Performa rams using the AIM	ance Measurement, Visualia S Toolkit," Software-Pract	zation and ice and Ex	Modelii perienc	ng of I e, 25(Parallel 4):429	and -461.
OR	28	YANG, Cui-Qing Programs," Prof. California, pages	. Eighth Internationa	tical Path Analysis for the Eal Conference on Distribute	Execution of Computing	of Paral ng Sys	lel and tems,	l Distril San Jo	buted ose,
	<u> </u>	L						-	
EXAMIN	IER N	· 0 /		DATE CONSIDERED					

FO	RM PT	ГО-1449	· 	ATTY. DOCKET NO.	APPLICATIO	N NO.	CONFIRMATIO	N
				10007965				_
		PATENTS AND PU .NT'S INFORMATIO		APPLICANT				
		STATEN		Jun Li et al. FILING DATE	IGROUP			_
	(Us	se several sheets if	necessary)	FILING DATE	GROOF			
EFEREN	ICE [DESIGNATION	U.S. PAT	ENT DOCUMENTS				-
KAMINEF INITIAL	1	DOCUMENT NUMBER	DATE	NAME	C	LASS	SUB CLASS	
	ЗА			**************************************				-
	3В							-
	3C			· · · · · · · · · · · · · · · · · · ·		-		-
	3D							_
	3E							_
	3F							_
	3G							_
	зн							_
	31							_
	3J							_
	ЗК							_
		DOCUMENT	DATE	GN PATENT DOCUMEN NAME	CLASS	SUB CLASS		<u></u> 5м
	3L	NUMBER	+			CLAS	S YES NO	-
	3M		1					-
	3N					<u> </u>		-
	30							-
	3P							-
	<u> </u>	OTHER REFE	RENCES (including	Author, Title, Date, Per	rtinent Pages,	etc.)	1 1	-
R	30	ThreadMon: The pages)	ne Tool Itself. On we	bsite: www.cs.brown.ed	u/research/thm	on/thm	non3.html (4	-
	3R	Introduction. On website: www.cs.brown.edu/research/thmon/thmon1.html (2 pages)						
) K								
OR OR	38	Rational Purify 1	for Windows. On we	bsite: www.rational.com	/products/purif	y_nt/in	dex/jsp (2 pag	- es)
		Rational Purify (for Windows. On we	bsite: www.rational.com		y_nt/in	dex/jsp (2 pag	- es) -

	M PT	0-1449		ATTY. DOCKET NO.	APPLICAT	TION NO. C	ONFIRM	AHUN
LICT		PATENTS AND PUI	DI ICATIONE FOR	10007965				
		NT'S INFORMATIO	N DISCLOSURE	APPLICANT				
		STATEM	ENT	Jun Li et al. FILING DATE	GROUP		 -	
	(Us	e several sheets if	necessary)					
EFEREN	CE D	DESIGNATION	U.S. PA	TENT DOCUMENTS				
XAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	NAME		SUB CLASS	
	4A					_		
	4B							
	4C							
	4D		•	* · · · · · · · · · · · · · · · · · · ·				
	4E							
	4F							
	4G							
	4H	,						
	41							
	4J							
	4K							
			. 0	IGN PATENT DOCUMEN	113			
		DOCUMENT NUMBER	DATE	NAME	CLAS	S SUB	TRANS	NO
	4L						<u> </u>	
	4L 4M						<u> </u>	
							<u> </u>	
	4M						<u> </u>	
	4M 4N						<u> </u>	
	4M 4N 40	NUMBER	DATE		CLAS	CLASS	<u> </u>	
	4M 4N 40	OTHER REFEI	DATE RENCES (including or Windows: Produ	NAME	CLAS	CLASS	<u> </u>	
10R	4M 4N 4O 4P	OTHER REFEI Rational Purify f www.rational.co	RENCES (including or Windows: Products/purify_	NAME Author, Title, Date, Per	cLAS	CLASS	<u> </u>	
10R	4M 4N 4O 4P	OTHER REFEI Rational Purify f www.rational.co Rational Purify f www.rational.co	DATE RENCES (including or Windows: Products/purify_or Windows Whitepom/products/purify_om/products/purify_cional Purify for Windows	NAME Author, Title, Date, Per action Information. On web ant/prodinfo.jsp (3 pages)	cLAS	es, etc.)	<u> </u>	

				ATTY. DOCKET NO.	APPLICATIO	N NO.	CONFIRM	ATION
FO	ORM PI	ro-1449		10007965				
		PATENTS AND PUBL		APPLICANT	· · · · · · · · · · · · · · · · · · ·			
AP	PLICA	NI'S INFORMATION STATEME		Jun Li et al.				
	(114	e several sheets if n	oceeary)	FILING DATE	GROUP			
	(US	e several sheets if hi						
EFERE	NCE [DESIGNATION	U.S. PAT	ENT DOCUMENTS				
XAMINE! INITIAL	R	DOCUMENT NUMBER	DATE	NAME	C	LASS	SUB CLASS	
	5A							
	5B						1	-
	5C						1	
	5D							
	5E						1	
	5F						1	
-	5G						+	
	5H						+	
	51					·	+	
	5J	 	-				+	
	5K						 	
	<u> </u>	I					ــــــــــــــــــــــــــــــــــــــ	
		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS		SLATION NO
	5L	,				1	1 1	
	5M							
-	5N			· ·			1	
	50						1 1	
	5P						1 1	
	ــــــــــــــــــــــــــــــــــــــ	<u> </u>						
		OTHER REFERI	ENCES (including	Author, Title, Date, Per	tinent Pages,	etc.)		
n 0	50	Rational Quantify pages)	for Windows. On	website: www.rational.co	om/products/qu	uantify_	nt/index.	jsp (2
00								
	5R	Brochure on Ratio	onal Quantify for Wi	ndows, available as a PDF	download on	website	 e:	
R		www.rational.com	n/products/quantify	_nt/index.jsp (4 pages)				
~								
	50	Patienal Occasió	for Windows NT 14	(hitopopora On website)				
	5S	www.rational.com	n/products/quantify	/hitepapers. On website: _nt/whitepapers.jsp (1 pa	ge)			
4								
EXAMI	NER	001	,	DATE CONSIDERED	,			
1	,	V/1 1/1		5/21/	104			
9V 06/01	TO1449	/ 			- /			

PATENT APPLICATION

Sheet 1 of 2

616 m	M PTO-1449
LIST CONTRACT	OF PATENTS AND PUBLICATIONS FOR LICANT'S INFORMATION DISCLOSURE
2003 APP	STATEMENT
MAY .	
MAY 1 L ZOOD APPI	

ATTY. DOCKET NO.	APPLICATION NO.	CONFIRMATION	NO.
10007965-1	09/955,764	9833	
APPLICANT			
Jun Li et al.			
FILING DATE	GROUP	···	
09-19-2001	2184		

U.S. PATENT DOCUMENTS

				09-19-2001	2184
REFERE	NCE I	DESIGNATION	U.S. PAT	ENT DOCUMENTS	
EXAMINER INITIAL		DOCUMENT NUMBER	PUBLICATION DATE	NAME	Pages, Columns, Lines Where Relevant Passages or Figures Appea
	1A				
	1B				
	1C				
-	1D				RECEIVED
	1E				MAY 1 5 2003
	1F				
`	1G				Technology Center 2100
	1H				
	11				
	1J				
	1K		·		

FOREIGN PATENT DOCUMENTS

		DOCUMENT NUMBER	PUBLICATION DATE	NAME OF PATENTEE OR APPLICANT	Pages/Columns/Lines Where Relevant Passages/Figures Appear	Check if Translation attached
JOR	1L	EPO924615	23.06.1999	Sun Microsystems		
	1M					
	1N					
	10					
	1P					<u> </u>

OTHER REFERENCES (including Author, Title, Date, Pertinent Pages, etc.)

DR	10	McGregor et al. "Collecting Metrics for CORBA-based Distributed Systems" Software Metrics Symposium 1998 ILos Alamitos, Ca, USA, IEEE Comput. SOC, US 20 November 1998 pages 11-22						
JOR	1R	Grahams S. L. et al: "An Execution Profiler for Modular Programs" XP-000783781 Software Practices and Experience vol. 13 no., 1983 pages 671-685 1993						
70K	15	Sridharan B et al: "On Building Non-Instrusive performance instrumentation blocks for CORBA-based distributed systems" Computer Performance and Dependability Symposium, 2000 IPDS 2000 Proceedings. IEEE International Chicageo, IL. USA Mar. 27, 2000 139-143						
EXAM	INER	A DATE CONSIDERED .						

1							PATENT Sheet 2	of 2	
E ve		TO 1440			ATTY. DOCKET NO.	· [.	APPLICATION NO.	CONFIRMATIO	
)	TO-1449			10007965-1		09/955,764	9833	
LEST OF PATENTS AND PUBLICATIONS FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT (Use several sheets if necessary)					APPLICANT Jun Li et al.				
						NCE	DESIGNATION	U.S. P	ATENT
EXAMINER INITIAL		DOCUMENT NUMBER	PUBLICATION DATE		NAME		Pages, Columns, Lines Where Relevant Passages or Figures Appear		
	2A								
	2B								
	2C								
	2D								
	2E		<u> </u>						
	2F				_				
	2G								
	2H				:				
	21								
	2J								
	2K								
			FO	REIGN	PATENT DOCUM	ENTS			
		DOCUMENT NUMBER	PUBLICATION DATE		ME OF PATENTEE OR APPLICANT		ages/Columns/Line vant Passages/Figu		
	2L								
	2M								
	2N								
	20								
	2P								

OTHER REFERENCES (including Author, Title, Date, Pertinent Pages, etc.)

JOR_	20	Katchabaw M J et al: "Making distributed applications manageable through instrumentation" Software Engineering for Parallel and Distributed Systems, 1997 Proceedings Second International Workshop on Boston, MA USA May 17-18 1997 pages 84-94							
	2R	Michael Beck, Harold Bohme, Mirko Dziadaka, Ulrich Kunitz, Robert Magnus, Dirk Verworner: -"Linux-Kernel-Programmierung:-Algorithmen-und-Strukturen-der-Version_10_pages 312-316							
	25								
EXAMIN	LER .	DATE CONSIDERED 5/20/34							